



PTO/SB/08B (04-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Page

4

of

**Complete if Known**

Application Number	10/069,431
Filing Date	August 18, 2000
First Named Inventor	David M. Hockenberry <i>et al.</i>
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	14538A-004610US

**U.S. PATENT DOCUMENTS**

Examiner	Cite No. <sup>1</sup>	Document Number Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
----------	-----------------------	---	--------------------------------	--	---

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
AO	BY	JP	5-155877		6/22/03			<input type="checkbox"/>
	BZ	JP	7-196489		8/11/95			<input type="checkbox"/>
	CA	WO	99/40081		8/12/99			<input type="checkbox"/>
	CB	EP	1 054 011		11/22/00			<input type="checkbox"/>
AO	CC	WO	01/05769		1/25/01			<input type="checkbox"/>
								<input type="checkbox"/>
								<input type="checkbox"/>
								<input type="checkbox"/>

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
AO	CD	Tokuatke <i>et al.</i> , "Inhibition Of Electron Transport Of Rat-Liver Mitochondria By Synthesized Antimycin A Analog," <i>Biochimica et Biophysica Acta</i> 1142:262-268 (1993)	
AO	CD	Tzung <i>et al.</i> , "Antimycin A Mimics A BH3 Domain-Containing Peptide And Selectively Induces Apoptosis In Cell Lines Overexpressing Bcl-x13," <i>Proc. Accr-NCI EORTC International Conference, Molecular Targets And Cancer Therapeutics</i> 38155-38165 (1999)	

Examiner Signature		Date Considered	4/26/2005
-----------------------	--	--------------------	-----------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.88. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



FORM PTO-1449 (Modified)				Attorney Docket No.: 14538A-004610US		Application No.: 10/069,431	
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				Applicant: David M. Hockenberry <i>et al.</i>			
				Filing Date: Aug. 18, 2000		Group: Unassigned	
Reference Designation				U.S. PATENT DOCUMENTS		Page 1 of 1	
Examiner Initial		Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
A	AA.	US 5,641,866	06-24-97	Reed <i>et al.</i>			
	AB.	US 5,643,727	07-01-97	Reed <i>et al.</i>			
	AC.	US 5,659,024	08-19-97	Reed <i>et al.</i>			
	AD.	US 5,686,595	11-11-97	Reed <i>et al.</i>			
	AE.	US 5,702,897	12-30-97	Reed <i>et al.</i>			
	AF.	US 5,734,033	03-31-98	Reed			
	AG.	US 5,744,310	04-28-98	Reed			
	AH.	US 5,994,564	11-30-99	Van Sickle			
Av	AI.	US 5,998,583	12-07-99	Korsmeyer			
FOREIGN PATENT DOCUMENTS							
		Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
Av	AJ.	Bernardi <i>et al.</i> , "The permeability transition pore. Control points of a cyclosporine A-sensitive mitochondrial channel involved in cell death," <i>Biochim. Biophys. Acta</i> 1275:5-9 (1996)					
	AK.	Charlotte <i>et al.</i> , "Immunohistochemical detection of <i>bcl-2</i> protein in normal and pathological human liver," <i>Am. J. Pathol.</i> 144:460-65 (1994)					
	AL.	Cheng <i>et al.</i> , "Conversion of Bcl-2 to a Bax-like death effector by caspases," <i>Science</i> 278:1966-68 (1997)					
	AM.	Chittenden <i>et al.</i> , "A conserved domain in Bak, distinct from BH1 and BH2, mediates cell death and protein binding functions," <i>EMBO J.</i> 14:5589-96 (1995)					
	AN.	Clem <i>et al.</i> , "Modulation of cell death by Bcl-X <sub>L</sub> through caspase interaction," <i>Proc. Natl. Acad. Sci. USA</i> 95:554-59 (1998)					
	AO.	Cosulich <i>et al.</i> , "Regulation of apoptosis by BH3 domains in a cell-free system," <i>Curr Biol.</i> 7:913-20 (1997)					
	AP.	Cosulich <i>et al.</i> , "Bcl-2 regulates amplification of caspase activation by cytochrome c," <i>Curr Biol.</i> 9:147-50 (1999)					
	AQ.	Decaudin <i>et al.</i> , "Bcl-2 and Bcl-X <sub>L</sub> antagonize the mitochondrial dysfunction preceding nuclear apoptosis induced by chemotherapeutic agents," <i>Cancer Res.</i> 57:62-67 (1997)					
	AR.	Fisher <i>et al.</i> , "Apoptosis in cancer therapy: crossing the threshold," <i>Cell</i> 78:539-42 (1994)					
	AS.	Holinger <i>et al.</i> , "Bak BH3 peptides antagonize Bcl-X <sub>L</sub> function and induce apoptosis through cytochrome c-independent activation of caspases," <i>J Biol. Chem.</i> 274:13298-304 (1999)					
	AT.	Hu <i>et al.</i> , "Bcl-X <sub>L</sub> interacts with Apaf-1 and inhibits Apaf-1-dependent caspase-9 activation," <i>Proc. Natl. Acad. Sci. USA</i> 95:4386-91 (1998)					
Av	AU.	Hueber <i>et al.</i> , "Thy-1 triggers mouse thymocyte apoptosis through a <i>bcl-2</i> -resistant mechanism," <i>J. Exp. Med.</i> 179:785-96 (1994)					

4/26/2003  
new

FORM PTO-1449 (Modified)

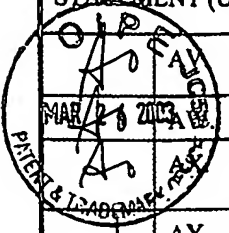

Attorney Docket No.: 14538A-0046

Application No.: 10/069,431

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT (Use several sheets if necessary)Applicant: David M. Hockenberry *et al.*

Filing Date: Aug. 18, 2000

Group: Unassigned


 Hunter *et al.*, "A peptide sequence from Bax that converts Bcl-2 into an activator of apoptosis," *J. Biol. Chem.* 271:8521-24 (1996)
Kelekar *et al.*, "Bcl-2-family proteins: the role of the BH3 domain in apoptosis," *Trends Cell Biol.* 8:324-30 (1998)Kluck *et al.*, "The release of cytochrome c from mitochondria: a primary site for Bcl-2 regulation of apoptosis," *Science* 275:1132-36 (1997)AY. Kroemer *et al.*, "Mitochondrial control of apoptosis," *Immunol. Today* 18:44-51 (1997)AZ. Kroemer, "The proto-oncogene Bcl-2 and its role in regulating apoptosis," *Nature Med.* 3:614-20 (1997)BA. Liu *et al.*, "Induction of apoptotic program in cell-free extracts: requirement for dATP and cytochrome c," *Cell* 86:147-57 (1996)BB. Memon *et al.*, "Bcl-2 blocks glucocorticoid- but not Fas- or activation-induced apoptosis in a T cell hybridoma," *J. Immunol.* 155:4644-52 (1995)BC. Minn *et al.*, "Expression of Bcl-x<sub>L</sub> can confer a multidrug resistance phenotype," *Blood* 86:1903-10 (1995)BD. Miyoshi *et al.*, "A model of antimycin A binding based on structure-activity studies of synthetic antimycin A analogues," *Biochim. Biophys. Acta* 1229:149-54 (1995)BE. Muchmore *et al.*, "X-ray and NMR structure of human Bcl-X<sub>L</sub> an inhibitor of programmed cell death," *Nature* 381:335-41 (1996)BF. Newmeyer *et al.*, "Cell-free apoptosis in *Xenopus* egg extracts: inhibition by Bcl-2 and requirement for an organelle fraction enriched in mitochondria," *Cell* 79:353-64 (1994)BG. Pan *et al.*, "Caspase-9, Bcl-X<sub>L</sub>, and Apaf-1 form a ternary complex," *J Biol. Chem.* 273:5841-5 (1998)BH. Petit *et al.*, "Mitochondria and programmed cell death: back to the future," *FEBS Letters* 396:7-13 (1996)BI. Rieske, "Inhibitors of respiration at energy-coupling site 2 of the respiratory chain," *Pharm Ther.* 11:415-50 (1980)BJ. Sattler *et al.*, "Structure of Bcl-x<sub>L</sub>-Bak peptide complex: recognition between regulators of apoptosis," *Science* 275:983-86 (1997)BK. Shimano *et al.*, "Total synthesis of the antifungal dilactones UK-2A and UK-3A: the determination of their relative and absolute configurations, analog synthesis and antifungal activities," *Tetrahedron* 54:12745-74 (1998)BL. Susin *et al.*, "Bcl-2 inhibits the mitochondrial release of an apoptogenic protease," *J. Exp. Med.* 184:1331-41 (1996)BM. Susin *et al.*, "The central executioner of apoptosis: multiple connections between protease activation and mitochondria in Fas/APO-1/CD95- and ceramide-induced apoptosis," *J. Exp. Med.* 186:25-37 (1997)BN. Tokutake *et al.*, "Inhibition of electron transport of rat-liver mitochondria by synthesized antimycin A analogs," *Biochim. Biophys. Acta* 1142:262-68 (1993)BO. Tokutake *et al.*, "Structural factors of antimycin A molecule required for inhibitor action," *Biochim. Biophys. Acta* 1185:271-78 (1994)BP. Tzung *et al.*, "Expression of Bcl-2 family during liver regeneration and identification of Bcl-x as a delayed early response gene," *Am. J. Pathol.* 150:1985-95 (1997)BQ. van Tamelen *et al.*, "The chemistry of antimycin A. X. Structure of the Antimycins," *J. Am. Chem. Soc.* 83:1639-1646 (1961)BR. Wu *et al.*, "Establishment and characterization of differentiated, nontransformed hepatocyte cell lines derived from mice transgenic for transforming growth factor  $\alpha$ ," *Proc. Natl. Acad. Sci. USA* 91:674-78 (1994)BS. Wu *et al.*, "Autonomous growth in serum-free medium and production of hepatocellular carcinomas by differentiated hepatocyte lines that overexpress transforming growth factor  $\alpha$ ," *Cancer Res.* 54:5964-73 (1994)BT. Xia *et al.*, "Electrical stimulation of neonatal cardiomyocytes results in the sequential activation of nuclear genes governing mitochondrial proliferation and differentiation," *Proc. Natl. Acad. Sci. USA* 94:11399-404 (1997)

 BU. Zamzami *et al.*, "Sequential reduction of mitochondrial transmembrane potential and generation of reactive oxygen species in early programmed cell death," *J. Exp. Med.* 182:367-77 (1995)

5 me / 2005  
4/26/04  
H. Hockenberry

FORM PTO-1449 (Modified)

Attorney Docket No.: 14538A-00461

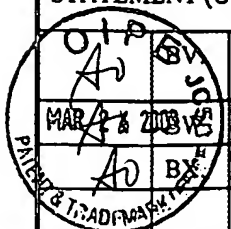
Application No.: 10/069,431

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT (Use several sheets if necessary)

Applicant: David M. Hockenberry *et al.*

Filing Date: Aug. 18, 2000

Group: Unassigned



Zamzami *et al.*, "Inhibitors of permeability transition interfere with the disruption of the mitochondrial transmembrane potential during apoptosis," *FEBS Letters* 384:53-57 (1996)

Zamzami *et al.*, "Mitochondrial control of nuclear apoptosis," *J. Exp. Med.* 183:1533-44 (1996)

Zoratti *et al.*, "The mitochondrial permeability transition," *Biochim. Biophys. Acta* 1241:139-76 (1995)

EXAMINER

*Amelia Dene*

DATE CONSIDERED

*4/26/2005*

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.